

## School District of Fort Atkinson

John J. Ottow, C.N.E.

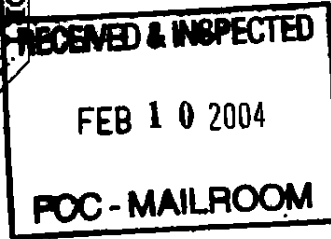
Director of Computer Technology

201 Park Street

Fort Atkinson, WI 53538

(920)563-7813 fax: (920)563-7809

[jjo@mail.fortschools.org](mailto:jjo@mail.fortschools.org)



February 5, 2004

Re: CC Docket No. 02-6  
E-rate Appeal  
Request for Review

Funding Commitment Decision letters:

Form 470 Application Number: 877760000447336

Form 471 Application Numbers: 366145, 366454, 366439, 366372

Funding Request Numbers: 995383, 1009279, 995989, 995808

Funding year 2003

Billed Entity Number: 132949

Applicant Name: School District of Fort Atkinson

Reason for Denial – Form 470 Not Certified

To Whom It May Concern:

Please see attached Appeal to SLD and Decision on Appeal.

**Timeline:**

- The form 470 was filed electronically on Jan 2, 2003
- The PIN process and electronic signature process was followed as part of the Form 470 filing.
- At no time during the electronic filing or signature process did I receive an indication that the electronic signature was not properly processed.
- I received several correspondences from SLD before the close of the filing window of February 6, 2003. It was not indicated in any of those correspondences that the electronic signature had not been received.
- I received a letter dated May 1, 2003 notifying the school district that the e-rate applications for 2003 were denied because of failure to provide an electronic or written signature for Form 470.
- An appeal was filed with SLD on May 16, 2003
- That appeal was denied on December 9, 2003

The reason for my appeal is as follows; I filed the Form 470 on-line in a timely manner following processes laid out on the SLD web site, this included following the process for electronic signature. I was not notified during the electronic signature process that the

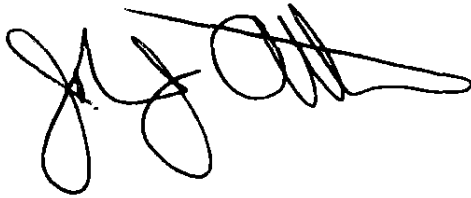
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process was incomplete or unsuccessful. I was not notified afterward by SLD in succeeding voice, written and e-mail correspondences, before the deadline, that the electronic signature process was unsuccessful.

The SLD electronic signature did not work in our case. The 2003 Form 470 notification letter did not indicate that the electronic signature process was not successful. I would have completed the signature process if I were aware that a signature was not received by SLD.

Please grant this appeal, as E-rate funding is a necessary part of the limited funding received by the School District of Fort Atkinson.

Thank you,

A handwritten signature in black ink, consisting of a series of loops and a long horizontal stroke extending to the right.



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**Administrator's Decision on Appeal - Funding Year 2003-2004**

December 9, 2003

John J. Ottow  
Fort Atkinson School District  
201 Park Street  
Fort Atkinson, WI 53538

Re:      **Billed Entity Number:**                      132949  
            **471 Application Number:**                      366454  
            **Funding Request Number(s):**                      1009279  
            **Your Correspondence Dated:**                      May 16, 2003

After thorough review and investigation of all relevant facts, the Schools and Libraries Division ("SLD") of the Universal Service Administrative Company ("USAC") has made its decision in regard to your appeal of SLD's Year 2003 Funding Commitment Decision for the Application Number indicated above. This letter explains the basis of SLD's decision. The date of this letter begins the 60-day time period for appealing this decision to the Federal Communications Commission ("FCC"). If your letter of appeal included more than one Application Number, please note that for each application for which an appeal is submitted, a separate letter is sent.

**Funding Request Number:**                      1009279  
**Decision on Appeal:**                              **Denied in full**  
**Explanation:**

- On appeal you indicate that you followed the certification process as instructed and at no time during the process was there an error message, so you assumed that the 470 was certified. When you received the 470 Notification Letter indicating that SLD had not received the 470 Certification, you thought that the application was already certified. You completed the 471 filing process and did not have any problems, reinforcing the opinion that there were no problems. During the review process, you were contacted by SLD regarding the 470 Certification. You described the problems with the PIN process and heard nothing else until the denial letter was received.
- Our records indicate that your Form 470 Certification was not postmarked prior to the close of the filing window on February 6, 2003. In your appeal letter to SLD

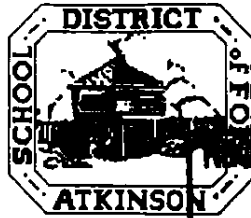
you indicated that you did not sign a paper certification since you used the electronic certification instead. Therefore, the SLD must rely on its records.

- Program rules for Funding Year 2003 require that Form 470 Certifications be postmarked no later than February 6, 2003 in order for the Form 470 to be valid and establish the bidding for these services. Since our records indicate that your Form 470 Certification did not meet this requirement, it cannot be used to establish the bidding for this service. During initial review you indicated that Application Number 877760000447336 was the establishing Form 470. Consequently, your appeal is denied for referencing a Form 470 that was not certified before the close of the filing window.

If you believe there is a basis for further examination of your application, you may file an appeal with the Federal Communications Commission (FCC). You should refer to CC Docket No. 02-6 on the first page of your appeal to the FCC. Your appeal must be **POSTMARKED** within 60 days of the above date on this letter. Failure to meet this requirement will result in automatic dismissal of your appeal. If you are submitting your appeal via United States Postal Service, send to: FCC, Office of the Secretary, 445 12th Street SW, Washington, DC 20554. Further information and options for filing an appeal directly with the FCC can be found in the "Appeals Procedure" posted in the Reference Area of the SLD web site or by contacting the Client Service Bureau. We strongly recommend that you use either the e-mail or fax filing options.

We thank you for your continued support, patience, and cooperation during the appeal process.

Schools and Libraries Division  
Universal Service Administrative Company



# School District of Fort Atkinson

John J. Ottow

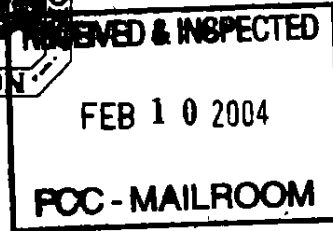
Director of Computer Technology

201 Park Street

Fort Atkinson, WI 53538

(920)563-7813 fax: (920)563-7809

[jjot@mail.fortschools.org](mailto:jjot@mail.fortschools.org)



May 16, 2003

Letter of Appeal  
Schools and Libraries  
Box 125 – Correspondence Unit  
80 South Jefferson Road  
Whippany, NJ 07981

## **E-rate APPEAL**

Funding Commitment Decision letters:  
Form 470 Application Number: 877760000447336  
Form 471 Application Numbers: 366145, 366454, 366439, 366372  
Funding Request Numbers: 995383, 1009279, 995989, 995808  
Funding year 2003  
Billed Entity Number: 132949  
Applicant Name: School District of Fort Atkinson

Reason for Denial – Form 470 Not Certified

To whom it may concern:

I received the Funding Commitment Decision Letters dated May 1, 2003 noting the denial of funding. The denial is due to the claim that a certification was never received for Form 470. It is regrettable as I was certain that I had followed the certification process when I had filed Form 470.

When processing Form 470 on January 2, 2003 I followed the Electronic Certification process. At no time during that process did I receive an error message. As this was the first time I used Electronic Certification, I assumed that the process was complete because no error messages appeared.

On January 6, the School District received the "Form 470—Receipt Notification Letter" from USAC. In that letter it states, "we have NOT yet received your Block 5 signed certification page." I did not think that this was unusual, as I had not signed a Block 5 form; I had used the Electronic Certification process instead. To make certain, I attempted to reopen the Form 470 on-line but I was unable to open the form as I was

given the message that the form could not be opened, as it was complete. To me this was further confirmation that I had successfully completed the 470 processes.

On January 31, I e-mailed USAC to receive a new PIN number. I had a telephone conversation with a Schools & Library Division representative about the Electronic Certification process, I was told a new PIN number would be sent to me. At this time I was not notified that there was any difficulties with the Form 470 or the Electronic Certification process.

On January 31 and February 3, I completed the Forms 471 mentioned above. At this time I was not notified that there was any difficulties with the Form 470 or the Electronic Certification process.

On March 7, I received "Receipt of Successful Data Entry" letters from USAC for the Forms 471 I had completed. At this time I was not notified that there was any difficulties with the Form 470 or the Electronic Certification process.

On and around March 19, I had a series of phone calls and e-mails (attached) with Dan Kirwan of the Schools & Library Division. This was the first notification that we had not successfully certified Form 470. I explained the entire process I had followed to Dan. I provided Dan with the information he requested and was told I would be contacted if he needed further information to rectify this situation. I did not hear back from Dan.

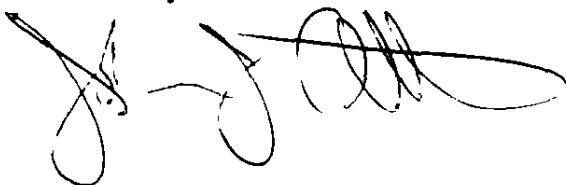
On April 3, I attempted to contact Dan Kirwan via e-mail to see if further information was needed. My e-mail was returned "The message that you sent was undeliverable to the following:dkirwan@sl.universalservice.org (user not found)"

I received the Funding Commitment Decision Letters dated May 1 indicating that funding is "Denied" as "Form 470 Not Certified."

This is the 6<sup>th</sup> year I have been involved in the E-rate process for our district. We have successfully received funding all of the previous years. This is the first and last year I will choose the Electronic Certification process. We are all aware of how on-line processes can make data processing more efficient. The only reason I chose the Electronic Certification process is to do my part in reducing the workload of processing E-rate for USAC. If I had any idea that a failure of the Electronic Certification process would put our E-rate funding in jeopardy I would not have attempted it.

This denial of funding is a huge setback to our school district. E-rate funding has become part of the funding stream that our district has become dependent on. Failure to receive these funds will force cutbacks in needed programming for our students.

Sincerely,

A handwritten signature in black ink, appearing to be a stylized name, possibly "J. J. [unclear]".

## John Ottow

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**From:** E-Rate, SLC [slc.e-rate@pearson.com]  
**Sent:** Friday, January 31, 2003 2:40 PM  
**To:** 'John Ottow'  
**Subject:** RE: Reference number 33550, case 186739

Thank you for your inquiry. This is to confirm the SLD phone conversation with you today, Friday, January 31, concerning your attached e-mail.

If you have any further questions please feel free to contact our Schools & Libraries Helpline at 888-203-8100 or contact us at [question@universalservice.org](mailto:question@universalservice.org). Please remember to visit our website for updates (<<<< <<http://www.sl.universalservice.org/>>>>>).  
<http://www.sl.universalservice.org/>>>>>).

Thank you.

Universal Service Administrative Company Schools and Libraries Division.

<res,dkw>

-----Original Message-----

From: John Ottow [mailto:jjo@mail.fortschools.org]  
mailto:jjo@mail.fortschools.org]  
Sent: Friday, January 31, 2003 2:02 PM  
To: [question@universalservice.org](mailto:question@universalservice.org)  
Subject: Reference number 33550

Please note correct address below to send my PIN number.

Thank You,

John

John J. Ottow  
School District of Fort Atkinson  
Director of Computer Technology  
201 Park St. Fort Atkinson, WI 53538  
920-563-7813 fax:7809

\*\*\*\*\*  
This email may contain confidential material.  
If you were not an intended recipient,  
Please notify the sender and delete all copies.  
We may monitor email to and from our network.  
\*\*\*\*\*

## John Ottow

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**From:** John Ottow [jjo@mail.fortschools.org]  
**Sent:** Wednesday, March 19, 2003 1:35 PM  
**To:** Daniel Kirwan  
**Subject:** RE: The Best I can do

Dan,

The 15 digit number 877760000447336 is the application number for the 470 application I submitted on 01-03-03. As I mentioned, that is the only 470 the School District of Fort Atkinson submitted.

Thanks again for your help.

John

-----Original Message-----

From: Daniel Kirwan [mailto:dkirwan@sl.universalservice.org]  
Sent: Wednesday, March 19, 2003 12:47 PM  
To: jjo@mail.fortschools.org  
Subject: Re: The Best I can do

John,

For applications 366439, 366145 and 366372 is the Form 470 number 877760000447336 cited on the 471 applications the establishing 470 for the services requested. If not please provide the 15 digit Form 470 number that established the bidding for the services requested.

Thanks,  
Dan

Dan Kirwan  
Schools & Library Division  
Program Integrity Assurance  
Voice: 973-884-8463  
Fax: 973-599-6523  
Email: dkirwan@sl.universalservice.org

>>> "John Ottow" <jjo@mail.fortschools.org> 03/19/03 11:36AM >>>  
Daniel,

I was only able to find the two attached e-mails relating to my Form 470/PIN fiasco. Here is how I remember the process:

On January 2 I submitted the Form 470. During that process I submitted for and used the paperless certification using a PIN number. I applied for the PIN as part of the process on January 2.

I remember feeling unsure about this whole PIN process. After I received the yellow letter from the Schools & Library Division confirming my application I tried to get back on the E-rate site to make sure my application was properly certified. I remember seeing a message that my application was no longer open/available. I assumed because I could no longer access the application, that it was properly processed.

Later in January, I contacted by the Schools & Library Division as I still had uneasiness about this whole PIN thing. As you can see by the attached e-mails, there was communication going back and forth to make sure I had a valid PIN and our 470 was properly processed. Unfortunately I did not save my paper notes of the phone conversations with the Schools & Library



Division contact person.

You can be assured, I will never rely on the PIN process in making future applications. It has left me with an incomplete paper trail of the process. I made assumptions based on the information given to me by the automated system on your site that may not have been valid. Efforts by me to clear this up before the February 6th deadline were not effective. From the day I filed the 470, I have had an uneasy feeling that the PIN certification may cost our district the much needed E-rate funding.

I appreciate any help you can provide in this manner.

If the attachments do not come through, they refer to Reference number 33550, case 186739

John

John J. Ottow  
School District of Fort Atkinson  
Director of Computer Technology  
201 Park St. Fort Atkinson, WI 53538  
920-563-7813 fax:7809

## John Ottow

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**From:** John Ottow [jjo@mail.fortschools.org]  
**Sent:** Thursday, April 03, 2003 2:48 PM  
**To:** Daniel Kirwan  
**Subject:** RE: Erate Applications: 366454, 366439, 366145 and 366372

Daniel,

What is the status of the form 470 application. The last time I talked to you were still looking into this.

Thank you,

John

-----Original Message-----

From: Daniel Kirwan [mailto:dkirwan@sl.universalservice.org]  
Sent: Wednesday, March 19, 2003 7:02 AM  
To: jjo@mail.fortschools.org  
Subject: Erate Applications: 366454, 366439, 366145 and 366372

Date: March 19, 2003

Dear John Ottow  
Fort Atkinson School District  
Applications: 366454, 366439, 366145 and 366372

Program Integrity Assurance (PIA) is in the process of reviewing all Form 471 Applications for schools and libraries discounts to ensure that they are in compliance with the rules of the federal universal service program. I am currently in the process of reviewing your Funding Year 2003 Form 471 Application. To complete my review I need some additional information. The information needed to complete the review is listed below.

On your original Form 471, Form 470 Application Number 877760000447336 is referenced as the establishing Form 470 on FRN 's 995808, 995383, 995989 and 1009279. This Form 470 is not certified or the Form 470 certification was postmarked after the close of the filing window on February 6, 2003, which is a violation of the rules of this support mechanism. The rules of this support mechanism require that the Form 470 Certification be postmarked on or before the close of the filing window on February 6, 2003.

Please verify if the referenced Form 470 is the establishing Form 470 for the services requested. If the referenced Form 470 is NOT the establishing Form 470, please provide the 15-digit Form 470 Number that established the bidding for the services requested.

The establishing Form 470 is the specific Form 470, which was posted for the services requested for 28 days, and pursuant to which a contract was signed or an agreement was entered into. The establishing Form 470 could have been posted by the State, if the requested services are being purchased off of a State Master Contract.

Please fax or e-mail the requested information to my attention. If you have any questions please feel free to contact me.

It is important that we receive all of the information requested so PIA can complete its review. Failure to do so may result in a reduction or denial of funding.

Please send the requested information within seven calendar days.

Thank you for cooperation and continued support of the Universal Service Program.

Sincerely,

Dan Kirwan  
Schools & Library Division  
Program Integrity Assurance  
Voice: 973-884-8463  
Fax: 973-599-6523  
Email: [dkirwan@sl.universalservice.org](mailto:dkirwan@sl.universalservice.org)

John Ottow

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**From:** Mailer-Daemon@mail.sl.universalservice.org  
**Sent:** Thursday, April 03, 2003 2:47 PM  
**To:** jjo@mail.footschools.org  
**Subject:** Message status - undeliverable



RE: Erate  
plications: 366454.

The message that you sent was undeliverable to the following:  
dkirwan@sl.universalservice.org (user not found)

Possibly truncated original message follows: